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JUL 4 1902JC997 U.S. PRO  
09/939769  
08/28/01***IN THE UNITED STATES PATENT AND TRADEMARK OFFICE***

Applicant: James P. Hoeffler et al.

Title: SINGLE CHAIN MONOCLONAL  
ANTIBODY FUSION REAGENTS  
THAT REGULATE  
TRANSCRIPTION IN VIVO

Appl. No.: Unassigned

Filing Date: 08/28/2001

Examiner: Unassigned

Art Unit: Unassigned

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.56**Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

Applicants submit herewith on Form PTO-1449 a listing of the documents cited by or submitted to the U.S. PTO in parent application Serial No. 08/728,890, filed 10/10/1996. As provided in 37 CFR §1.98(d), copies of the documents are not being provided since they were previously submitted to the United States Patent & Trademark Office in the above-identified parent application.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

**RELEVANCE OF EACH DOCUMENT**

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

By S. A. Bent

Date August 28, 2001

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Form PTO-1449 (MODIFIED)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE CITATION  (Use several sheets if necessary)	ATTY. DOCKET NO. 039322-0226	SERIAL NO. Unassigned
		APPLICANT James P. Hoeffler et al.	
		FILING DATE 08/28/2001	GROUP ART UNIT Unassigned

JG97 U.S. PRO 09/939769 08/28/01

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
	A1	5,658,763	08/97	Dorai et al			
	A2	5,525,491	06/96	Huston et al			
	A3	5,558,852	09/96	Bigner et al			
	A4	5,610,013	03/97	Van den Eynde et al			
	A5	5,622,852	04/97	Korsmeyer	435	325	
	A6	5,565,332	10/96	Hoogenboom et al	530	387.1	
	A7	4,946,778	09/90	Ladner et al	435	69.6	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	A8	Brunelli & Pall, Yeast, 1993, vol. 9, pp. 309-1318, Abstract
	A9	Miller et al, FASEB J., 9:190-199, 1995
	A10	Nature Biotechnology, 15:815, 1997
	A11	Orkin et al., Report & Recommendation of the Panel to Assess the NH Investment in Research on Gene Therapy, 1995
	A12	Marshall, Science, 209:1050-1055, 1995
	A13	Culver et al., TIG, 10:174-178, 1994
	A14	Hensel et al., Stedman's Medical Dictionary, 25th Edition, p. 798, 1990, Williams & Wilkins, Baltimore
	A15	Wenzl et al, Yeast, 8:667-668, 1992
	A16	Reynes et al, Gene Ther. Meet. Cold Spring Harbor, 1994, Abstract 140
	A17	Gatignol et al, Mol. Gen. Genet., 207:342-348, 1987
	A18	Jespers, Laurent S., et al., "Guiding the selection of human antibodies from phage display repertoires to a Single epitope of an antigen", Bio/Technology, 12:899, (1994)
	A19	Mendelsohn et al., "Application of interaction traps/ two-hybrid systems to biotechnology research", Curr. Op. In Biol., 5:482, (1994)
	A20	Fields et al., "The two-hybrid systems; an assay for protein-protein interactions", TIG, 10:287 (1994)

EXAMINER	DATE CONSIDERED

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.

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	A21	Phizicky et al., Protein-protein interactions; Methods for detection and analysis", Microbiological Reviews, 59:94, (1995)			
	A22	Allen et al., "Finding prospective partners in the library; the two-hybrid system and phage display find a match" TIBS, 20:511 (1995)			
	A23	Griffiths et al., "Isolation of high affinity human antibodies directly from large synthetic repertoires", EMBO, 13:3245, (1994)			
	A24	De Kruif et al., "Selection and application of human single chain Fv antibody fragments", J. Mol. Biol., 248:97, (1995)			
	A25	Yang et al., "Protein-peptide interactions analyzed with the yeast two-hybrid system", Nucl. Acids Res., 23:1152, (1995)			
	A26	Estojak et al., "Correlation of two-hybrid affinity data with in vitro measurements" Molecular and Cellular Biology, 15:5820, (1995)			
	A27	Somia et al., "Generation of targeted retroviral vectors by using single chain variable fragment: An approach To in vivo gene delivery", PNAS, 92:7570 (1995)			
	A28	Ditzel et al., "Neutralizing recombinant human antibodies/isolated by using an epitope-masking procedure" J. Immunol., 154:893, (1995)			
	A29	Biocca et al., "Single chain fragments targeted to the endoplasmic reticulum, cytosol and mitochondria" Biotechnology, 13:1110, (1995)			
	A30	Vaughan et al., Human antibodies with sub-nanomolar affinities/phage display library", Nature Biotechnology, 14:309, (1996)			
	A31	Neri et al., Engineering recombinant antibodies for immunotherapy", Cell Biophysics, 27:47, (1995)			
	A32	Llewelyn et al., "Monoclonal antibodies in medicine", BMJ, 305:1269, (1992)			
	A33	Hawkins et al., "Selection of phage antibodies by binding affinity", J. Mol. Biol., 226:889, (1992)			
	A34	Hawkins et al., "Adapting antibodies for clinical use", BMJ, 305:1348, (1992)			
	A35	Russell et al., Principles of antibody therapy", BMJ, 305:1424, (1992)			
	A36	Marks et al., "Oligonucleotide primers for PCR amplification of human immunoglobulin variable genes and Design of family-specific oligonucleotide probes", Eur. J. Immunol., 21:985, (1991)			
	A37	Marks et al., "By-passing immunization: human antibodies from V-gene libraries displayed on phage", J. Mol. Biol., 222:581, (1991)			
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	A38	Werge et al., Intracellular Immunization, FEBS, 274:193, (1990)			
	A39	Hoeffler et al., "Towards isolation of single-chain variable domains with high-affinity antigen-binding Characteristics using the two-hybrid system in yeast", Meeting Abstract, (Tahoe, CA; February 1994)			
	A40	J. Cell Biochem, 1994 Supp. 18D, 190			
	A41	Hollinger et al., "Engineering biospecific antibodies", Curr. Op. Biol., 4:446, (1993)			
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